

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of Lee Weng, et al.

For: **CONTROLLED HIGH EFFICIENCY  
LESION FORMATION USING HIGH  
INTENSITY ULTRASOUND**

Application Serial No.: Not Yet Assigned

Filed: August 4, 2003

Attorney Docket No.: THRSP-0004-0002

Examiner: Not yet assigned

Group Art Unit: Not yet assigned

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL  
(PTO/SB/05 (03-01))**

16235 U.S. PTO  
10/633726  
08/04/03


**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status. See 37 CFR 1.27.
3.  Specification [Total Pages: 22]  
*Preferred arrangement set forth below*
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s). See 35 U.S.C. 113 [Total Sheets: 10]
5.  Oath or Declaration [Total Pages: 9]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*
  - c.  DELETION OF INVENTOR(S)
    - i. Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76
7.  CD ROM or CDR In Duplicate
8.  Nucleotide and/or Amino Acid Sequence  
*(if applicable, all necessary)*
  - a.  Computer Readable Form
  - b. Specification Sequence Listing On:
    - i.  CD ROM or CD-R (2X); or
    - ii.  Paper
  - c.  Statements verifying identity of above copies

**ADDRESS TO:**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers  
*(Cover sheet & document(s))*
10.  37 CFR 3.73(b) Statement  
*(when there is an assignee)*
  - Power of Atty
11.  English Translation Document  
*(if applicable)*
12.  Information Disclosure Statement  
*(PTO-1449)*
  - Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard  
*(MPEP 503)*
  - (Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Non-publication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation

Divisional

Continuation-in-part (CIP)

Prior application information:

of prior application No.: 09/721,526

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Group Art Unit: 3737  
Examiner: Runa S. Qaderi

19. Correspondence Address:

<input type="checkbox"/> Customer No.	Insert Customer No. or Affix Customer No. Label Here	<input checked="" type="checkbox"/> <u>OR</u> Address Below
---------------------------------------	---	---

Correspondence Address: Sheldon K. Lee  
Associate GC  
Therus Corporation  
2401 4<sup>th</sup> Ave.; Suite 200  
Seattle, CA 98121

20. Respectfully Submitted By:

Name: Sheldon K. Lee	Attorney Registration No.: 53,197
Signature: 	Date: August 4, 2003

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid addressed to: Mail Stop Patent Application, Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450 on August 4, 2003.

Date: August 4, 2003

Insert Express Mail Label Here:

ER148679298US

  
Signature

# Fee Transmittal for FY 2003

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$)**375**

<b>Complete if Known</b>	
Application Number	Not yet assigned
Filing Date	August 4, 2003
First Named Inventor	Lee Weng, et al.
Examiner Name	Not yet assigned
Art Unit	Not yet assigned
Attorney Docket Number	THRS0004-0002

**METHOD OF PAYMENT** (check all that apply)

Check  Credit Card  Money Order  Other  None

Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION**
**1. BASIC FILING FEE**

Large Entity      Small Entity

Fee	Fee	Fee	Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)	
1001	750	2001	375 Utility filing fee	375
1002	330	2002	165 Design filing fee	
1003	520	2003	260 Plant filing fee	
1004	750	2004	375 Reissue filing fee	
1005	160	2005	80 Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>375</b>	

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Independent Claims	2	-3** =	0	X	0	=	0
Multiple Dependent	0						0

1205    18    2205    9 \*\* Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

**0**

3. ADDITIONAL FEES					
Large Entity	Small Entity				
Fee	Fee				
Code	Fee (\$)	Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge – late filing fee or oath	
1052	50	2052	25	Surcharge – late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,300	2453	650	Petition to revive – unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of design application	
Other Fee (specify)					

\*\*or number previously paid. If greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

0

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Sheldon K. Lee	Registration No. (Attorney/Agent)	53,197	Telephone (206) 832-4636
Signature		ER148679298 VS	Date	August 4, 2003

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

# UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

INCOMPLETE

Attorney Docket No. THRS0004

Date: November 22, 2000

Inventor(s): Lee Weng, David Perozek, Jimin Zhang, and Joseph E. Eichinger

Title **CONTROLLED HIGH EFFICIENCY LESION FORMATION USING HIGH INTENSITY ULTRASOUND**

FULL NAME OF FIRST NAMED INVENTOR: Lee Weng COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 4452 170<sup>th</sup> Avenue S.E., Bellevue, Washington 98006

FULL NAME OF SECOND NAMED INVENTOR: David M. Perozek COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 5237 - 82<sup>nd</sup> Avenue S.E., Mercer Island, Washington 98040

FULL NAME OF THIRD NAMED INVENTOR: Jimin Zhang COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 14116 S.E. 46<sup>th</sup> Street, Bellevue, Washington 98006

FULL NAME OF FOURTH NAMED INVENTOR: Joseph E. Eichinger COUNTRY OF CITIZENSHIP: US

RESIDENCE ADDRESS OF INVENTOR: 234 Alverson Blvd., Everett, Washington 98201

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1.  Fee Transmittal (BELOW)
2.  Applicant claims small entity status. See 37 C.F.R. § 1.27.
3.  Specification [Total Pages 22]
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 10] [FORMAL]
5.  Oath or Declaration [Total Pages   ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]
  - i. DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 C.F.R. § 1.76
7.  CD-ROM or CD-R in duplicated, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:   i. CD-ROM or CD-R (2 copies); or   i. Paper
  - c.  Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. § 3.73(b) Statement (when there is an assignee)  Power of Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be itemized specifically)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP)  of prior application No: 60/167,707, filed November 26, 1999  
Prior application information: Examiner: \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Client Copy

**Correspondence address below:**

Ronald M. Anderson  
**LAW OFFICES OF RONALD M. ANDERSON**  
600 - 108th Avenue N.E., Suite 507  
Bellevue, WA 98004

Telephone: 425-688-8816 Facsimile: 425-646-6314

**Typed/Printed Name**

Ronald M. Anderson

Registration Number 28 829

**Signature**

Ron Anderson

Date: November 22, 2000

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL442740349US

Date of Deposit: November 22, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

KATHY PAULINO  
(Name of person mailing paper/fee)

arks, Washington, D.C. 20231.  
Kathy Paulino  
(Signature of person mailing paper or fee)